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LMT/pdd  
07/22/02

Receipt  
PATENT APPLICATION  
Docket No.: 2719.2016-001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Glenn McGall, Lisa Kajisa and Bradley A. Kregger  
Application No.: 09/871,610 Group: 1623  
Filed: June 1, 2001 Examiner: Not assigned  
For: New Methods for Array Preparation Using Substrate Rotation



CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202	
on <u>7/25/02</u>	<u>Paula Depeltera</u>
Date	Signature
<u>PAULA DEPELTERA</u>	
Typed or printed name of person signing certificate	

SECOND REQUEST FOR CORRECTED FILING RECEIPT  
FOR UTILITY APPLICATION

Office of Initial Patent Examination  
Customer Service Center  
Assistant Commissioner for Patents  
P.O. Box 2327  
Arlington, VA 22202

Sir:

We hereby request that the following items of information be corrected in the Filing Receipt for the subject application.

The errors and corrections appear below.

The Customer Number and Correspondence Address should be as follows:

21005  
Hamilton, Brook, Smith & Reynolds, P.C.  
530 Virginia Road  
P.O. Box 9133  
Concord, MA 01742-9133

Enclosed are copies of the Filing Receipt with changes noted in red, along with copies of the previously submitted Appointment of New Attorneys and/or Agents and Change of Correspondence Address, Certificate under 37 C.F.R. §3.73(b) and date-stamped postcard receipt.

Pursuant to instructions in the February 29, 2000 O.G., we hereby request that the errors which are identified above be corrected in the captioned application to which this request for correction is directed. It is understood that the Patent Office will issue an automatically-generated, corrected Filing Receipt in this and, if applicable, any other affected applications.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By Lisa M. Treannie

Lisa M. Treannie

Registration No.: 41,368

Telephone: (978) 341-0036

Facsimile: (978) 341-0136

Concord, MA 01742-9133

Date: 7/24/02



**COPY**

UNITED STATES PATENT AND TRADEMARK OFFICE

WBK  
018547-042110 US

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20535  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/871,610	06/01/2001	1623	710	2719.2016-001	3	15	

CONFIRMATION NO. 6835

## UPDATED FILING RECEIPT



\*OC000000007753953\*

20350

TOWNSEND AND TOWNSEND AND CREW, LLP  
TWO EMBARCADERO CENTER  
EIGHTH FLOOR  
SAN FRANCISCO, CA 94111-3834

APR 19 2002

TOWNSEND AND CREW, LLP

21005  
HAMILTON, BROOK, SMITH & REYNOLDS, P.C.  
530 Virginia Road, P.O. Box 9133  
Concord, MA 01742-9133

Date Mailed: 04/01/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Glenn McGall, Mountain View, CA;  
Lisa Kajisa, San Jose, CA;  
Bradley A. Kreger, Elk Grove, CA;

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/209,411 06/01/2000

## Foreign Applications

If Required, Foreign Filing License Granted 08/30/2001

Projected Publication Date: Request for Non-Publication Acknowledged

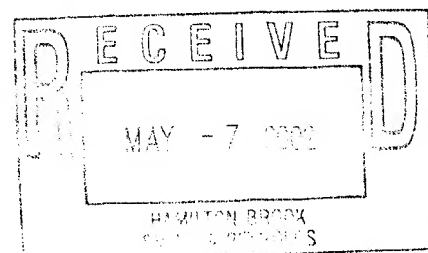
Non-Publication Request: Yes

Early Publication Request: No

## Title

New methods for array preparation using substrate rotation

## Preliminary Class



536

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

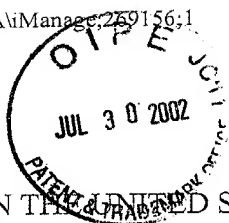
The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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11/27/01



**COPY**

PATENT APPLICATION  
DOCKET NO.: 2719.2016-001  
(018547-042110)

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FILE  
AUG 14 2002  
TECH CENTER 1600/2900

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Glenn McGall, Lisa Kajisa and Bradley A. Kreger

Serial No.: 09/871,610

Group Art Unit: Not assigned

Filed: June 1, 2001

Examiner: Not assigned

For: New Methods for Array Preparation Using Substrate Rotation

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231	
on <u>3/18/02</u>	<u>Paula Depelteau</u>
Date	Signature
<u>PAULA DEPELTEAU</u>	
Typed or printed name of person signing certificate	

APPOINTMENT OF NEW ATTORNEYS AND/OR AGENTS AND  
CHANGE OF CORRESPONDENCE ADDRESS

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Affymetrix, Inc., a Corporation duly organized under the laws of the Delaware, is the assignee of the entire right, title and interest in the above-identified application. Affymetrix Inc. hereby appoints the attorneys and/or agents associated with:

Hamilton, Brook, Smith & Reynolds, P.C.  
530 Virginia Road  
P.O. Box 9133  
Concord, Massachusetts 01742-9133  
**Customer No. 21005**

to prosecute the above-identified application and any divisions or continuations thereof and to conduct all business in the United States Patent and Trademark Office.

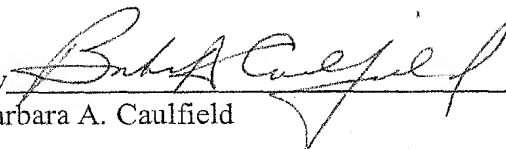
Please change the correspondence address for the above captioned patent as follows:  
All correspondence should be sent to Customer Number 21005, Hamilton, Brook, Smith & Reynolds, P.C., 530 Virginia Road, P.O. Box 9133, Concord, Massachusetts 01742-9133. Please

-2-

direct all telephone calls to Lisa M. Treannie at (978) 341-0036, and all facsimile communications to Lisa M. Treannie at (978) 341-0136.

Certification under 37 C.F.R. §3.73(b) is submitted herewith.

Respectfully submitted,  
Affymetrix, Inc.

By   
Barbara A. Caulfield

Title Executive Vice President & General Counsel

Date JAN 18 2002



Docket No. \_\_\_\_\_

3281.1  
19.2016-001 (018547-042110)

## CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

**COPY**  
RECEIVED  
AUG 14 2002  
FBI CENTER 1500 2900Applicants: Steven McGall, Lisa Kajisa and Bradley A. KregerApplication No.: 09/871,610Filed: June 1, 2001For: New Methods for Array Preparation Using Substrate RotationAffymetrix, Inc.

(Name of Assignee)

a corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is

- A. ☒ the assignee of the entire right, title and interest in the patent application identified above.
- B. ☐ an assignee together with ☐ of the entire right, title and interest in the patent application identified above. A separate Certificate under 37 CFR § 3.73(b) is attached.

The right, title and interest of the above-named assignee in the patent application identified above is established by virtue of:

- A. ☒ An assignment from the inventors of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frames \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frames \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are attached.☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: \_\_\_\_\_

Name: Barbara A. CaulfieldTitle: Executive Vice President & General CounselSignature: Barbara A. Caulfield

COPY

EXPRESS MAIL LABEL NO. EL 769975536 US

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Glenn McGall, of 750 No. Shoreline Blvd., #30, Mountain View, CA 94043; Lisa Kajisa, of 4644 Doyle Court, San Jose, CA 95129; Bradley A. Kreger, of 8506 Pinedrops Court, Elk Grove, CA 95624; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: NEW METHODS FOR ARRAY PREPARATION USING  
SUBSTRATE ROTATION

Date(s) of execution of Declaration: 05/17/01, 05/17/01 and 05/30/01

Filing Date: Herewith

Application No.: Unassigned

WHEREAS, Affymetrix, Inc., a corporation of the state of Delaware, located at 3380 Central Expressway, Santa Clara, CA, 95051, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8<sup>th</sup> Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

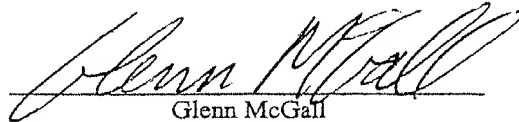
— NOT FOR RECORDATION —



Assignment  
Attorney Docket No.: 18547-042110US  
Page 2

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 5/24/01

  
Glenn McGall

SIGNATURE WITNESSED BY:

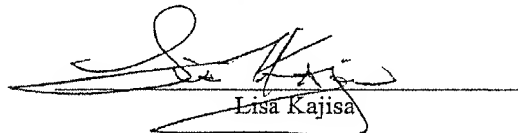
(1) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 1

(2) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 2

Dated: 5/17/01

  
Lisa Kajisa

SIGNATURE WITNESSED BY:

(1) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 1

(2) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 2

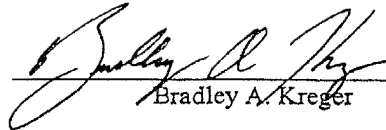
Assignment

Attorney Docket No.: 18547-042110US

Page 3

Dated:

5/30/01

  
\_\_\_\_\_  
Bradley A. Kreger

SIGNATURE WITNESSED BY:

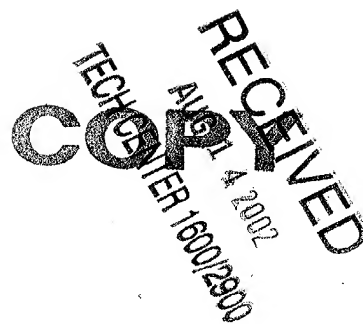
(1) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 1

(2) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 2

1222738



Initials: LMT/pdd      Docket No.: 2719.2016-001      Date: 3/18/02  
(18547-042110)

This is to acknowledge receipt of the following documents each filed under Certificate of Mailing Procedure 37 C.F.R. 1.8:

X APPOINTMENT OF NEW ATTORNEYS AND/OR AGENTS AND CHANGE  
OF CORRESPONDENCE ADDRESS  
X Certificate under 3.73(b)  
X Other Copy of Assignment

Applicants: Glenn McGall, *et al.*  
Application No.: 09/871,610  
Title: New Methods for Array Preparation Using Substrate Rotation

Date received by the PTO:

